

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
INFORMATION DISCLOSURE STATEMENT TRANSMITTAL

In re Application of Cornelius Borst et al.
For: METHOD AND APPARATUS FOR TEMPORARILY IMMOBILIZING A LOCAL AREA OF TISSUE
Serial No.: 09/678,203
Filed: 10/02/2000

CERTIFICATE OF MAILING UNDER 37 CFR 1.8: I hereby certify that this **INFORMATION DISCLOSURE STATEMENT** and the paper(s), as described herein, are being deposited in the U.S. Postal Service, as first class mail, addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231 on this 23 day of May, 2001.

Barbara J. Lakanen
Signature
Barbara J. Lakanen
Printed Name

Commissioner of Patents and Trademarks
Washington, D.C. 20231

Sir:

We are transmitting herewith the attached:

- ☒ Information Disclosure Statement Transmittal
- ☒ Information Disclosure Statement
- ☒ PTO FORM 1449
- ☒ Copies cited references
- ☒ Return Postcard

FEE CALCULATION

- ☐ \$ 00.00 Pursuant to 37 CFR §1.97(b)
- ☐ \$ 00.00 Pursuant to 37 CFR §1.97(c) with Certification
- ☐ \$ 00.00 Pursuant to 37 CFR §1.97(e) with Certification
- ☒ \$240.00 Pursuant to 37 CFR §1.97(c) without Certification
- ☐ \$130.00 Pursuant to 37 CFR §1.97(d) with Certification

- ☐ Applicant hereby petitions for a _____ months' extension of time. If an additional extension of time is required, please consider this petition therefor.
- ☒ Applicant believes that no extension of time is required. However, if an extension of time is required, please consider this a petition therefor to provide for the possibility that applicant has inadvertently overlooked the need for an extension of time.
- ☒ Please charge any additional fees or credits to Deposit Account No. 13-2546 which may have been overlooked on this Amendment Transmittal with regard to this filing. A duplicate of this transmittal is enclosed.

Date

5/22/01

Daniel W. Latham
Daniel W. Latham
Reg. No. 30,401
MEDTRONIC, INC.
710 Medtronic Parkway
Minneapolis, Minnesota 55432
Telephone: (763) 391-9661



PATENT
Docket: P-3875.09

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s):	Cornelius Borst et al.)	Art Unit: 3736
)	
Serial No.:	09/678,203)	Examiner: R. Nasser
)	
Filed:	10/02/2000)	
)	
For:	METHOD AND APPARATUS FOR TEMPORARILY IMMOBILIZING A LOCAL AREA OF TISSUE		

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington D.C. 20231

Dear Sir:

In compliance with the duty imposed by 37 C.F.R. § 1.56, and in accordance with C.F.R. §§ 1.97 *et. seq.*, the materials enclosed herewith are brought to the attention of the Examiner as possibly being of interest in connection with the above-identified patent application.

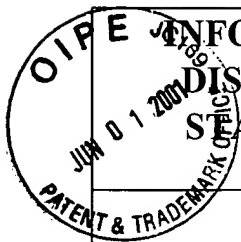
Consideration of each of the documents listed on the attached Form 1449 is respectfully requested. Pursuant to the provisions of M.P.E.P. §609, Applicant further requests that a copy of the Form 1449, marked as being considered and initialed by the Examiner, be returned with the next Official Communication.

Respectfully submitted,

By: 

Daniel W. Latham
Attorney for Applicants
Registration No. 30,401

MEDTRONIC, INC.
710 Medtronic Parkway
Minneapolis, Minnesota 55432
Telephone: (763) 391-9661



INFORMATION DISCLOSURE STATEMENT	Atty. Docket No.: P-3875.09	Serial No.: 09/678,203
	Applicant(s): Cornelius Borst et al.	
	Filing Date: 10/02/2000	Group: 3736

U.S. PATENT DOCUMENTS

Examiner Initial		Document Number	Date	Name	Class	SubClass	Filing Date If Appropriate
		452,131	05/1891	Haughawout			
		3,783,873	01/1974	Jacobs	128	303R	
		4,049,002	09/1977	Kletschka et al	128	318	
		4,306,561	12/1981	De Medinaceli	128	303.13	
		4,688,570	08/1987	Kramer et al	128	305	
		4,726,356	02/1988	Santilli et al	128	20	
		4,925,443	05/1990	Heilman et al	600	16	
		4,955,896	09/1990	Freeman	606	210	
		4,973,300	11/1990	Wright	600	37	
		5,098,369	03/1992	Heilman et al	600	16	
		5,119,804	06/1992	Anstadt	12	64	
		5,131,905	07/1992	Grooters	600	16	
		5,300,087	04/1994	Knoepfler	606	207	
		5,336,252	08/1994	Cohen	607	119	
		5,374,277	12/1994	Hassler	606	207	
		5,383,840	01/1995	Heilman et al	600	17	
		5,417,709	05/1995	Slater	606	205	
		5,452,733	09/1995	Sterman et al	128	898	
		3,858,926	01/1975	Ottenhues	294	64 R	
		4,366,819	01/1983	Kaster	128	334 C	
		4,368,736	01/1983	Kaster	128	334 C	
		4,646,747	03/1987	Lundbäck	128	643	
		4,718,418	01/1988	L'Esperance, Jr.	128	303.1	
		4,808,163	02/1989	Laub	604	105	
		4,854,318	08/1989	Solem et al	128	346	
		4,865,019	09/1989	Phillips	128	20	
		4,989,587	02/1991	Farley	128	20	
		5,011,469	04/1991	Buckberg et al	604	4	
		5,053,041	10/1991	Ansari et al	606	148	
		5,167,223	12/1992	Koros et al	128	20	
		5,287,861	02/1994	Wilk	128	898	
		5,365,921	11/1994	Bookwalter et al	128	20	

EXAMINER**Date Considered**

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	SubClass	Filing Date If Appropriate
	5,372,124	12/1994	Takayama et al	128	4	
	5,425,705	06/1995	Evard et al	604	28	
	5,437,651	08/1995	Todd et al	604	313	
	5,807,243	09/1998	Vierra et al	600	204	
	5,108,412	04/1992	Krumeich et al	606	166	
	5,749,892	05/1998	Vierra et al	600	204	
	4,718,418	01/1988	L'Esperance, Jr.	128	303.1	
	5,607,421	03/1997	Jeevanandam et al	606	15	
	4,991,578	02/1991	Cohen	128	419 D	
	5,009,660	04/1991	Clapham	606	166	
	4,962,758	10/1990	Lasner et al	128	41	
	5,545,123	08/1996	Oritz et al	600	235	
	5,836,311	11/1998	Borst et al	128	897	
	6,015,378	01/2000	Borst et al	600	37	
	4,904,012	02/1990	Nishiguchi et al	294	64	
	3,786,815	01/1974	Ericson	128	321	
	4,711,247	12/1987	Fishman	128	743	
	3,951,138	04/1976	Akopov	128	17	
	6,110,187	08/2000	Donlon	606	151	
	5,894,843	04/1999	Benetti et al	128	898	
	6,063,021	05/2000	Hossain et al	600	37	
	4,767,142	08/1988	Takahashi et al	294	64.1	
	5,207,467	05/1993	Smith	294	64.1	
	5,727,569	03/1998	Benetti et al	128	898	
	5,927,284	07/1999	Borst et al	128	898	
	6,019,722	02/2000	Spence et al	600	210	
	5,782,746	07/1998	Wright	600	37	
	4,096,864	06/1978	Kletschka et al	128	354	
	5,556,147	09/1996	Somekh et al	294	64.1	
	5,667,624	09/1997	Akimoto et al	156	389	
	4,892,343	01/1990	Hall	294	64.1	
	5,290,082	03/1994	Palmer et al	294	64.1	
	5,702,420	12/1997	Sterling et al	606	205	
	5,133,737	07/1992	Grismer	606	205	
	3,916,909	11/1975	Kletschka et al	128	354	

EXAMINER

Date Considered

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



U.S. PATENT DOCUMENTS

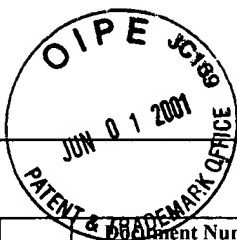
Examiner Initial	Document Number	Date	Name	Class	SubClass	Filing Date If Appropriate
	4,627,421	12/1986	Symbas et al	128	20	
	4,637,377	01/1987	Loop	128	1 R	
	5,171,254	12/1992	Sher	606	166	
	4,047,532	09/1977	Phillips et al	128	303 R	
	5,613,937	03/1997	Garrison et al	600	201	
	5,509,890	04/1996	Kazama	600	37	
	5,472,438	12/1995	Schmit et al	606	1	
	4,736,749	04/1988	Lundback	128	643	
	3,720,433	03/1973	Rosfelder	294	64 R	
	3,999,795	12/1976	Barker	294	64 R	
	4,314,568	02/1982	Loving	128	327	
	4,463,980	08/1984	Orii	294	64 R	
	5,324,087	06/1994	Shimose et al	294	64.1	
	5,875,782	03/1999	Ferrari et al	128	898	
	5,906,607	05/1999	Taylor et al	606	1	
	6,032,672	03/2000	Taylor	128	898	
	6,071,235	06/2000	Furnish et al	600	235	
	6,139,492	10/2000	Vierra et al	600	204	
	3,577,982	05/1971	La Par	128	2R	
	4,447,227	05/1984	Kotsanis	604	95	
	5,799,661	09/1998	Boyd et al	128	898	
	5,827,216	10/1998	Igo et al	604	21	
	3,983,863	10/1976	Janke et al	128	1 R	
	4,973,300	11/1990	Wright	600	37	
	4,350,160	09/1982	Kolesov	128	334 R	

FOREIGN PATENT DOCUMENTS

		Document Number	Date	Country	Class	SubClass	Translation	
							Yes	No
		WO 96/00033	01/1996	PCT			X	
		WO 94/03142	02/1994	PCT			X	
		0 293 760 A3	05/1988	EPO			X	
		DE 29708050	05/1997	Germany				X
		G 9004513.0	04/1990	Germany				X
		WO 87/04081	07/1987	PCT			X	
		WO 88/00481	01/1988	PCT			X	
		WO 94/14383	07/1994	PCT			X	

EXAMINER
Date Considered

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



FOREIGN PATENT DOCUMENTS

		Patent Number	Date	Country	Class	SubClass	Translation	
							Yes	No
		WO 95/15715	06/1995	PCT			X	
		WO 95/17127	06/1995	PCT			X	
		WO 97/10753	03/1997	PCT			X	
		WO 95/01757	01/1995	PCT			X	
		WO 98/10705	03/1998	PCT			X	
		WO 98/17182	04/1998	PCT			X	
		WO 98/27869	07/1998	PCT			X	
		GB 2267827	12/1993	United Kingdom			X	
		0 630 629 A1	12/1994	EPO			X	
		0 668 058 A1	08/1995	EPO			X	
		0 808 606 A1	11/1997	EPO			X	
		0 167 345 A1	01/1986	EPO			X	
		0 920 835 A1	06/1999	EPO			X	
		WO 99/16367	04/1999	PCT			X	
		GB 2 140 695A	12/1984	UK			X	
		GB 2 214 428A	09/1989	UK			X	
		GB 2 214 428B	06/1991	UK			X	
		0 432 560 A2	11/1990	EPO				X
		WO 94/14715	07/1994	PCT			X	
		WO 94/18881	09/1994	PCT			X	

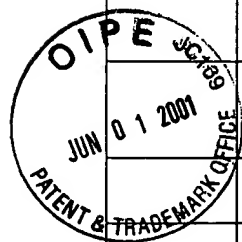
OTHER DOCUMENTS (Including Authors, Title, Date, Pertinent Papers, etc.)

		Mammary Artery-Coronary Artery Anastomosis as Method of Treatment for Angina Pectoris, V.I. Kolessov, MD/Thoracic and Cardiovascular Surgery, Vol. 54, No. 4, Oct 1967 pp 535-544
		Direct Myocardial Revascularization by Saphenous Vein Graft, R.G. Favaloro, MD; DG Effler, MD; LK Groves, MD; WG Sheldon, MD; and FM Sones, Jr., MD / The Annals of Thoracic Surgery, Vol. 10, No. 2, Aug. 1970
		A Simple Technique and Device To Provide a Bloodless Operative Field in Coronary Artery Surgery Without Cross-Clamping the Aorta, M. Riahi, RJ Schlosser and LA Tomastis/The Journal of Thoracic and Cardiovascular Surgery, Vol. 66, No. 6, Dec. 1973, pp. 974-978
		To Use or Not To Use the Pump Oxygenator in Coronary Bypass Operations, Drs. WG Trapp and R. Bisarya/The Annals of Thoracic Surgery, Vol. 19, No. 1, Jan 1975, pp. 108-109
		A Prospective Evaluation of the Pulsatile Assist Device, GL Zumbro, Jr., MD; G Shearer, CCP; ME Fishback, MD; and RF Galloway, MD / The Annals of Thoracic Surgery, Vol 28, No. 2 Aug. 1979, pp. 269-273
		Preservation of Interventricular Septal Function in Patients Having Coronary Artery Bypass Grafts Without Cardiopulmonary Bypass, CW Akins, MD; CA Boucher, MD; and GM Pohost, MD / American Heart Journal, Vol. 107, No. 2, Feb. 1984, pp. 304-309
		Coronary Artery Revascularization Without Cardiopulmonary Bypass, R. Archer, DO; DA Ott, MD; R. Parravicini, MD; DA Cooley, MD; GJ Reul, MD; OH Frazier, MD; JM Duncan, MD; JJ Livesay, MD and WE Walker, MD, Texas Heart Institute Journal, Vol. 11, No. 1, Mar. 1984, pp. 52-57

EXAMINER

Date Considered

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



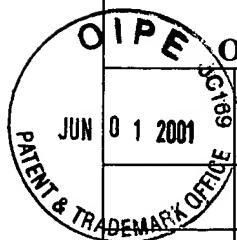
OTHER DOCUMENTS (Including Authors, Title, Date, Pertinent Papers, etc.)

		Direct Myocardial Revascularization Without Cardiopulmonary Bypass, E. Buffolo; JCS Andrade, J Succi; LEV Leao; and C Gallucci. Thoac. Cardiovasc. Surgeon, 33 (1985) pp. 26-29
		Direct Coronary Surgery with Saphenous Vein Bypass Without Either Cardiopulmonary Bypass or Cardiac Arrest, FJ Benetti, The Journal of Cardiovascular Surgery, Vol. 26, No. 3, May-Jun. 1985, pp. 217-222
		Heart-Mechanical Assist Device Interaction, JY Kresh; PLM Kerkhof; SM Goldman; and SK Brockman, Trans. Am. Soc. Artif. Intern. Organs, Vol XXXII, 1986, pp. 437-443
		Delayed Recovery of Severely 'Stunned' Myocardium with the Support of a Left Ventricular Assist Device after Coronary Artery Bypass Graft Surgery, CM Ballantyne MD; MS verani, MD, FACC; HD Short, MD; C Hyatt, BSN, RN; GP Noon, MD, FACC, Journal of the American College of Cardiology, Vol. 10, No. 3, Sep. 1987, pp. 710-712
		Long-Term Follow-up of Survivors of Postcardiotomy Circulatory Support, SA Ruzevich; KR Kanter; DG Pennington; MT Swartz; LR McBride; and DT Termuhlen, Trans. Am. Soc. Artif. Intern. Organs, Vol. XXXIV, 1988, pp. 116-124
		Extended Clinical Support with an Implantable Left Ventricular Assist Device, MG McGee; SM Parnis; T Nakatani; T Myers; K Dasse; WD Hare; JM Duncan; VL Poirier; and OH Frazier, Trans Am. Soc. Artif. Intern. Organs, Vol XXXV, 1989, pp. 614-616
		Current Status of Cardiac Surgery: A 40-Year Review, WE Richenbacher, MD; JL Myers, MD, FACC; JA Walhausen, MD, FACC, Journal of American College of Cardiology, Vol. 14, No. 3, Sep. 1989, pp. 535-544
		Transfemoral Placement of the Left Ventricular Assist Device "Hemopump" During Mechanical Resuscitation, KH Scholz; U Tebbe; M Chemnitus; H Kreuzer; T Schroder; JP Hering; P Uhlig; G Hellige; HJ Grone; R Autschbach; B Schorn; W Ruschewski; and H Dalichau, Thoracic and Cardiovascular Surgeon, Vol 38 (1990) pp. 69-72
		Direct Mechanical Ventricular Actuation for Cardiac Arrest in Humans, MP Anstadt, MD; RL Bartlett, MD; JP Malone, MD, FCCP; and GL Anstadt, VMD; Chest, Vol. 100, No. 1, Jul 1991
		Direct Myocardial Revascularization Without Extracorporeal Circulation, FJ Benetti, MD; G Naselli, MD; M Wood, MD; and L Geffner, MD, Chest, Vol. 100, No. 2, Aug. 1991, pp. 312-316
		Coronary Artery Bypass Without Cardiopulmonary Bypass, Pfister et al, The Annals of Thoracic Surgery, Vol. 54 #6 Dec. 1992 pp. 1085-1092
		Coronary Artery Operation Supported by the Hemopump: An Experimental Study on Pig, U Lonn, MD; B Peterzen, MD; H Granfeldt, MD; and H Casimir-Ahn, MD, Ph.D. The Annals of Thoracic Surgery, Vol. 58, No. 1, Jul. 1994, pp. 516-523
		Regional Cardiac Wall Immobilization for Open Chest and Closed Chest Coronary Artery Bypass Grafting on the Beating Heart: The 'Octopus' Method, Circulation, Vol 92. No. 8 Supplement 1, I-177 (Oct. 15, 1995)
		A Minimally Invasive Surgical Method for Coronary Revascularization - Preliminary Experience in Five Patients, MC Robinson, DR Gross, and W Zeman, Circulation, (Oct. 15, 1995) Vol. 92, No. 8, I-176
		Coronary Artery Bypass Grafting Without Cardiopulmonary Bypass and Without Interruption of Native Coronary Flow Using a Novel Astamosis Site Restraining Device ("Octopus"), C. Borst et al., Journal of the American College of Cardiology, Vol. 27, No. 6, 1356-1364 (May 1996)
		Cardiogenic Shock Complicating Acute Myocardial Infarction: the Use of Coronary Angioplasty and the Integration of the New Support Device into Patient Management, GM Gacioch, MD; Stephen G. Ellism, MD, FACC; L Lee, MD; ER Bates, MD, FACC; M Kirsh, MD, FACC; JA Walton, MD, FACC; EH Topol, MD, FACC, Journal of the American College of Cardiology, Vol. 19, No. 3, Mar. 1, 1992
		Reoperative Coronary Artery Bypass Grafting Without Cardiopulmonary Bypass, WJ Fanning, MD; GS Kakos, MD; and TE Williams, Jr., MD, Ph.D., The Annals of Thoracic Surgery, Vol. 55, No. 2, Feb. 1993, pp. 486-489

EXAMINER

Date Considered

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.


OTHER DOCUMENTS (Including Authors, Title, Date, Pertinent Papers, etc.)

		Enhanced Preservation of Acutely Ischemic Myocardium with Transeptal Left Ventricular Assist, JD Fonger, MD; Y Zhou, MD; H Matsuura, MD; GS Aldea, MD; and RJ Shemin, MD, The Annals of Thoracic Surgery, Vol. 57, No. 3, Mar. 1994, pp. 570-575
		Transcatheter Radiofrequency Ablation of Atrial Tissue Using a Suction Catheter, Th Lavergne et al. (PACE, Vol. 12, Jan. 1989, Part II, pp. 177-186
		Abstract: "Closed Chest Coronary Artery Bypass With Cardioplegic Arrest in the Dog", Stevens et al. 67 th Scientific Sessions
		Placement of Coronary Artery Bypass Graft without Pump Oxygenator, Trapp et al., Journal of The Society of Thoracic Surgeons and The Southern Thoracic Surgical Assn. Vol. 19. No. 7 Jan. 1975
		Experimental Videothoroscopic Cannulation of the Left Atrial Appendix: A Feasible Rapid Approach For Initiating Left Heart Bypass? PF Gründeman; DW Meijer; JJG Bannenberg; R tukkie; and PJ Kloppe, Surgical Endoscopy (1993) 7: 511-513

EXAMINER**Date Considered**

***Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.**

Based on Form PTO-FB-A820
(Also form PTO-1449)

Patent and Trademark Office, U.S. Department of Commerce